

TOA SW clear-sky fluxes for EarthCARE's BBR: towards a global and time-invariant radiance-to-flux converter

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Freie Universität



Berlin

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Environment
Canada

Why EarthCARE? (launch in 2018)

- instrumental setup to retrieve aerosol and cloud properties in 3D
- simulate outgoing radiative fluxes and compare against measurement-based fluxes (radiative closure)
- assume good understanding of cloud-aerosol-radiance interaction for difference of $< 10 \text{ W/m}^2$

Focus on clear-sky scenes

- homogeneous cases should pose little difficulties to radiative closure assessment
 - for best cloud assessment in semi-transparent or broken cloud fields, ensure that cloud-free portions are handled well
- optimize SW clear-sky radiance-to-flux conversion



<http://www.esa.int/>

Why Broadband Radiometer (BBR)?

- measures radiances over solar (SW) and total (SW+thermal) broadband spectrum
- at three viewing angles:
nadir, 55° for- & backward

Why do differently than CERES?

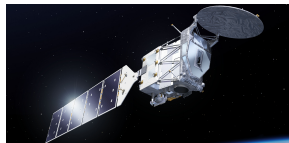
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- no MODIS-like data available
- simpler representation is desirable

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◁ The regression task & CERES ADMs

CERES SSF ADMs

- sev. years of SW radiance obs.
- over land surfaces
 - an ADM per calendar month and regional bin ($1^\circ \times 1^\circ$)
 - per interval of TOA NDVI and elevation variability
- over ocean surfaces
 - an ADM per interval of 10m wind and AOD
 - angular bins (2° SZA, RAA, VZA)
- resulting in several 100 ADMs
- using MODIS-based products (not available in EarthCARE)

The regression task

- **measuring TOA SW radiance** with the BBR
- **want to predict TOA SW flux** (all radiance leaving through upward hemisphere)
 $F \sim I$
- problematic: surface and atmosphere contribute to TOA anisotropy
- ideally: have parameters providing information on a scene's anisotropic nature
- alternatively:
find auxiliary variables explaining differences between CERES ADMs and use as input for regression (e.g. in ANN)
 $F = f(I, \dots)$

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We aim for...

- a simpler representation of CERES ADMs without MODIS support
- on the other hand, new auxiliary data will be needed (we want to find out which ones are essential)
- to establish and optimize radiance-to-flux conversion (e.g. using Artificial Neural Networks as regression tool)

Limitations

- three EarthCARE BBR viewing direction (nadir, 55° for- & backward)
- CERES footprints of pure IGBP type (66% of all clear-sky observations, 4 Mio. samples)

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◁ Extracted geophysical parameters



- TOA SW radiance measurements along with **viewing geometry**
(CERES SSF Edition 4 [Su et al., 2014])
 - **surface type & state**
 - IGBP [Townshend, 1992]
 - ERA 20C reanalysis [Hersbach et al., 2015]
 - as substitute to future X-Met data
 - status of vegetation, snow & sea-ice
 - MOD43B BRF climatology
[Schaaf et al., 2002, Zhipeng Qu, 2014]
 - derive VIS/NIR albedo and anisotropy over land surface
 - **atmospheric state**
 - ERA 20C (10m wind, total ozone. TCWV)
 - AeroCom clim. [<http://aerocom.met.no/>]
 - **output: TOA SW Flux**
(estimated in CERES SSF Edition 4)
- ▷ find the essential parameter subset for optimal radiance-to-flux conversion using Artificial Neural Networks

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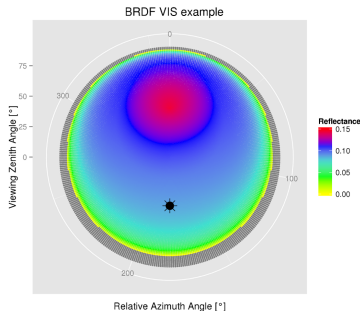


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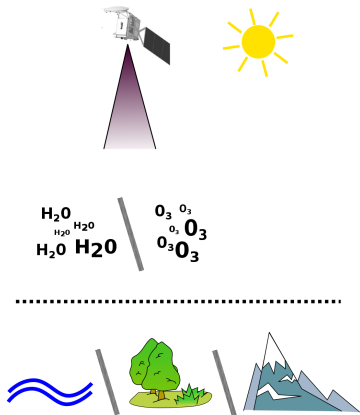
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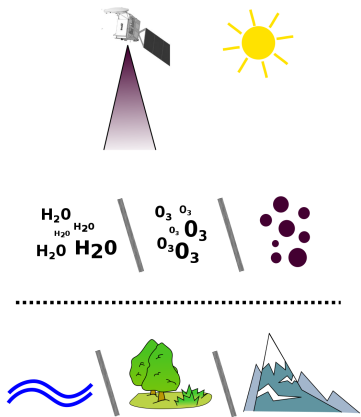
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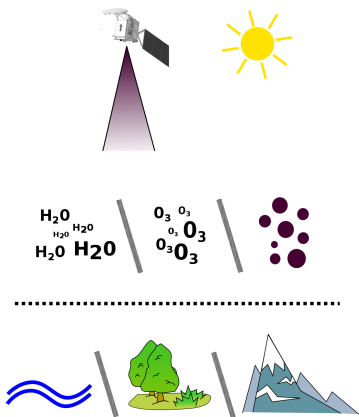
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Variable importance metrics

Random Forest Regression

- multiple decision trees
- use of aux. data for split nodes
- at each leaf (each end of a tree):

$$F \sim I + I^2 \mid w_{10m}, AOD, \dots$$

- permutation test measures importance of each aux. variable

Linear Model with Genetic Algorithms

- using aux. data as direct proxy for anisotropy
- search algorithm determines best aux. data subset

$$F \sim I(w_{10m} + \dots) + I^2(\dots)$$

	Surface Types		
	Permanent Snow	Desert	Open Water
Scattering	B F N	B F N	B F N
SZA	● ● ●	● ● ●	● ● ●
VZA	●	●	●
RAA	● ● /	● ● /	● ● /
P(SGA)	● ● ●	● ● ●	● ● ●
Hotspot	● ● ●	● ● ●	● ● ●
AeroCom Median AOD	● ● ●	● ● ●	● ● ●
ERA Ozone	● ● ●	● ● ●	● ● ●
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A_{surf} Black-sky VIS	● ● ●	● ● ●	///
A_{surf} Black-sky NIR	● ● ●	● ● ●	///
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ERA surface roughn.	● ● ●	● ● ●	● ●
ERA charnock	● ● ●	● ● ●	●
ERA snow depth	● ●	///	///
ERA snow albedo	●	///	///
ERA snow density	● ●	///	///

Observations

- inclusion of:
 - aux. variables related to viewing and illumination geometry
 - AOD
 - land surface BRDF and albedo
- exclusion of:
 - most ERA surface parameters
- uncertain about:
 - ERA ozone & TCWV
 - ERA 10m wind

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ERA surface roughn.	● ● ●	● ● ●	● ●
ERA charnock	● ● ●	● ● ●	● ●
ERA snow depth	● ●	///	///
ERA snow albedo	● ●	///	///
ERA snow density	● ●	///	///

Observations

- inclusion of:
 - aux. variables related to viewing and illumination geometry
 - AOD
 - land surface BRDF and albedo
- exclusion of:
 - most ERA surface parameters
- uncertain about:
 - ERA ozone & TCWV
 - ERA 10m wind

Linear Model	Random Forest	
	Y	N
Y	●	
N	●	●

Variable importance metrics

Random Forest Regression

- multiple decision trees
- use of aux. data for split nodes
- at each leaf (each end of a tree):

$$F \sim I + I^2 \mid w_{10m}, AOD, \dots$$

- permutation test measures importance of each aux. variable

Linear Model with Genetic Algorithms

- using aux. data as direct proxy for anisotropy
- search algorithm determines best aux. data subset

$$F \sim I(w_{10m} + \dots) + I^2(\dots)$$

Scattering	Surface Types		
	Permanent Snow	Desert	Open Water
	B F N	B F N	B F N
SZA	● ● ●	● ● ●	● ● ●
VZA	●	●	●
RAA	● /	● /	● /
P(SGA)	● ● ●	● ● ●	● ● ●
Hotspot	● ● ●	● ● ●	● ● ●
AeroCom Median AOD	● ● ●	● ● ●	● ● ●
ERA Ozone	● ● ●	● ● ●	● ● ●
ERA TCWV	● ● ●	● ● ●	● ● ●
A_{surf} Black-sky VIS	● ● ●	● ● ●	///
A_{surf} Black-sky NIR	● ● ●	● ● ●	///
A_{surf} White-sky VIS	● ● ●	● ● ●	///
A_{surf} White-sky NIR	● ● ●	● ● ●	///
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A_{surf} White-sky NIR	● ● ●	● ● ●	///
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ERA LAI high veg.	///	● ●	///
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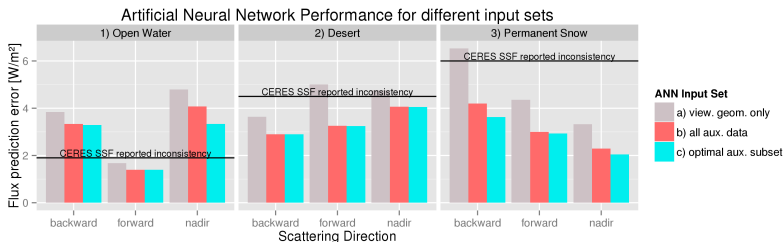
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A_{surf} Black-sky VIS	• • •	• • •	///
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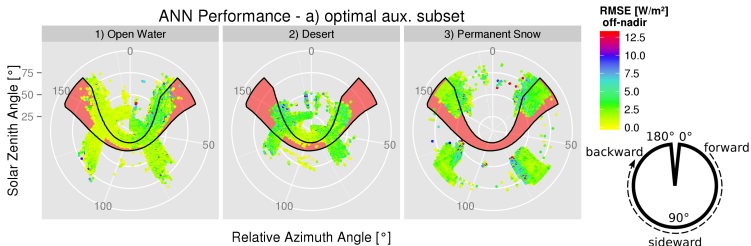
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N		

Optimization of ANNs for rad-to-flux conversion



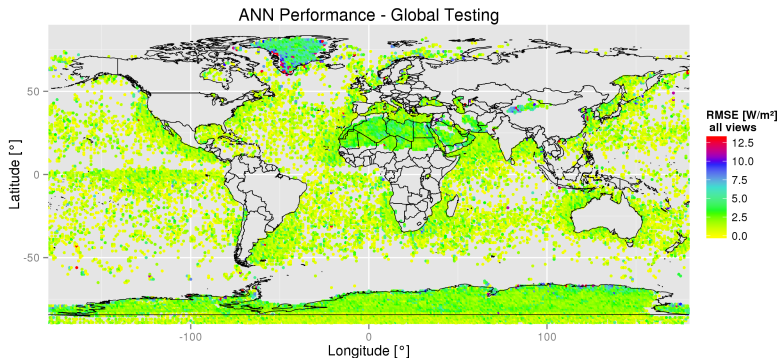
- optimal subset of aux. data with best performance on predicting CERES fluxes

Optimization of ANNs for rad-to-flux conversion



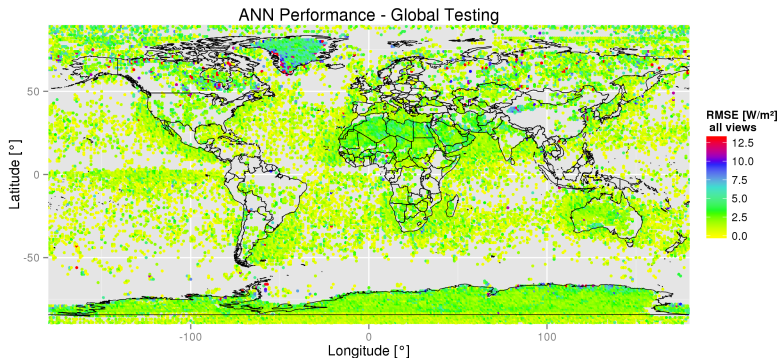
- satisfying performance for EarthCARE-like geometry (red shaded area)

Optimization of ANNs for rad-to-flux conversion



- overall good performance, except for very mountainous terrain

Optimization of ANNs for rad-to-flux conversion



- similarly high perf. for other sfc. types, except for *Fresh Snow*



a) view, geom, only

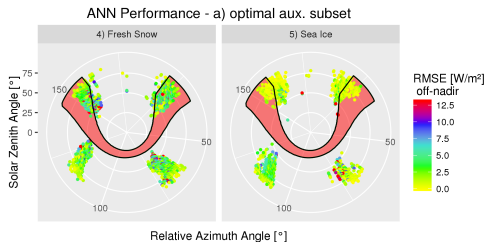
- b) all aux. data

☒ c) optimal aux. subset

- above CERES inconsistencies

ERB Workshop 2016, Reading 8 / 9

Uncertainty over Fresh Snow



- uncertainty refl. in parameter choice

Scattering	Surface Types	
	Fresh Snow	Sea Ice
SZA	● ● ● ●	● ● ● ●
VZA	●	● ● ● ●
RAA	● ● /	● ● /
P(SGA)	● ● ● ●	● ● ● ●
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ERA surface roughn.	● ● ● ●	● ● ● ●
ERA charnock	● ● ● ●	● ● ● ●
ERA snow depth	● ● ● ●	///
ERA snow albedo	● ● ● ●	///
ERA snow density	● ● ● ●	///
ERA ice cover	///	● ● ● ●

◁ Wrap up...

In summary...

- + for TOA SW clear-sky rad-to-flux conversion in EarthCARE
 - aimed for a simpler representation of ADMs from CERES SSF
 - instead of MODIS, use of different auxiliary variables
 - found optimal subset of those variables
 - viewing and illumination geometry
 - land surface BRDFs and albedo
 - AOD, and partly total column O_3 and H_2O , as well as 10m wind
 - optimized performance of Artificial Neural Networks (uncertainty of $2.9\text{-}3.8\text{ W/m}^2$)

Discussion

- Why are certain aux. variables important for the radiance-to-flux conversion?
 - Could aerosols or atm. gases serve as *anisotropy softener* ?
 - Does 10m wind change the structure of (some) land surfaces ?
 - Or do some variables simply serve to discriminate regionally ?

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Thank you for your attention!

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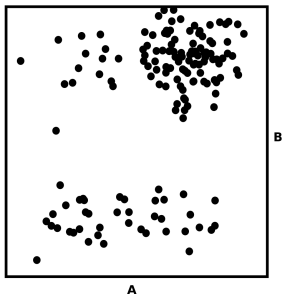
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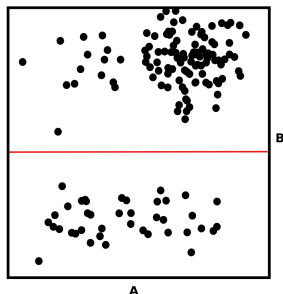
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- therefore, correct for DT's tendency to overfit
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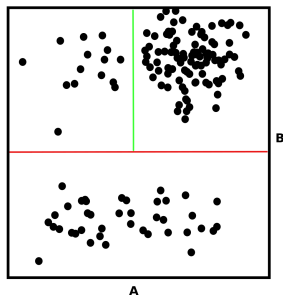
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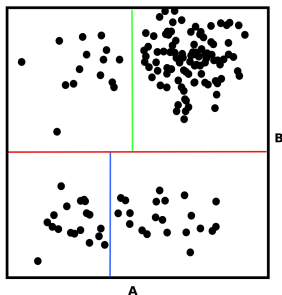
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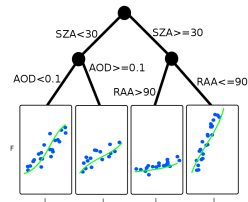
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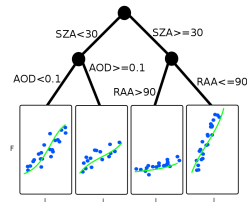
◁ Identifying a subset through Random Forest Regression (not shown)

- ▷ train a multitude of **decision trees** with simple linear model at each leaf ($F \sim I + I^2$)
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 - permute and reassign one parameter
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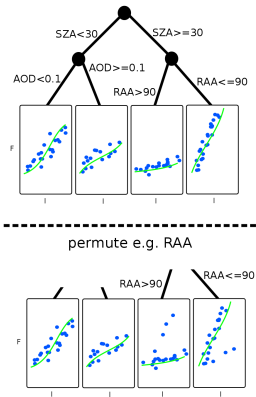
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◁ Genetic Algorithms [Scrucca, 2009]

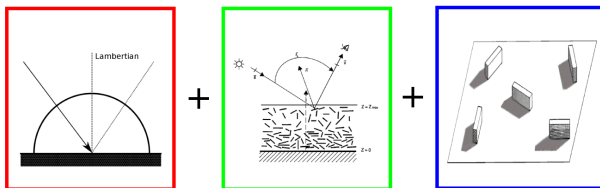
- simulate living organisms and their biological evolution (mutation, crossover, selection & elitism)
- successfully applied to search & optimization problems
- ▷ procedure:
 - randomly generate population of individuals (aka. strings or chromosomes)
 - consisting of units (aka. genes, features or characters; i.e. 0/1)
 - each genotype represents a solution to the optimiz. problem
 - **fitness** evaluates closeness to optimization (here: BIC)
 - exploration: creating population diversity (mutation & crossover)
 - exploitation: reducing diversity by selecting fitter individuals

$$BIC = -2 \cdot \ln \left(\frac{1}{n} \sum_{i=1}^n (y_i - \hat{y}_i)^2 \right) + k \cdot \ln(n)$$

with n observations and k parameters estimating \hat{y}_i

◁ Semi-empirical BRF - Ross-Li

$$R(\theta_s, \theta_o, \phi, \Lambda) = f_{iso}(\Lambda) + f_{vol}(\Lambda) \cdot K_{vol}(\theta_s, \theta_o, \phi) + f_{geo}(\Lambda) \cdot K_{geo}(\theta_s, \theta_o, \phi)$$



Adapted from Petty (2006) and Roujean et al. (1992)

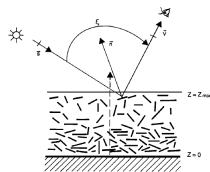
▷ $K_{vol}(\theta_s, \theta_o, \phi)$ - Ross-Thick Kernel

$$K_{vol}(\theta_s, \theta_o, \phi) = \frac{(\pi/2 - \zeta) \cos \zeta + \sin \zeta}{\cos \theta_s + \cos \theta_o} - \frac{\pi}{4}$$

with

$$\cos \zeta = \cos \theta_s \cos \theta_o + \sin \theta_s \sin \theta_o \sin \phi$$

-
- ▷ for large LAI-values (“**thick**”) with small gaps in between leafs
 - ▷ leaf facets uniformly oriented
 - ▷ equal transmittance and reflectance of leafs
 - ▷ above flat, Lambertian surface



Roujean et al., 1992

◁ $K_{\text{geo}}(\theta_s, \theta_o, \phi)$ - geometric-optical *Li-Sparse* Kernel

$$K_{\text{geo}}(\theta_s, \theta_o, \phi) = \frac{m}{\pi} (t - \sin t \cos t - \pi) + \frac{1 + \cos \zeta}{2 \cos \theta_s \cos \theta_o}$$

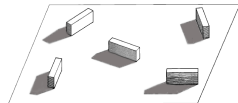
with

$$\cos t = \frac{2}{m} \sqrt{\Delta^2 + (\tan \theta_s \tan \theta_o \sin \phi)^2}$$

$$m = 1 / \cos \theta_s + 1 / \cos \theta_o$$

$$\Delta = \sqrt{\tan^2 \theta_s + \tan^2 \theta_o - 2 \tan \theta_s \tan \theta_o \cos \phi}$$

-
- ▷ “**sparse**” spacing of objects (e.g. trees)
 - ▷ randomly located spheroids with presumed 3D proportions
 - ▷ ratio of sunlit/shaded crown and ground



Roujean et al., 1992

◁ Surface albedo

- ▷ ratio between hemispherical upwelling and downwelling radiative fluxes
- ▷ classic subdivision into:

black-sky albedo $\alpha_{bs} = \alpha_{bs}(\theta_s, \Lambda)$

- ▷ single-beam irradiation
- ▷ directional-hemisph. integral
- ▷ function of solar zenith angle

white-sky albedo $\alpha_{ws} = \alpha_{ws}(\Lambda)$

- ▷ perfectly diffuse illumination in turbid atmosphere
- ▷ independent from SZA

- ▷ diffuse illumination $S = S(\tau(\Lambda), \theta_s)$ determines albedo

$$\alpha = (1 - S) \cdot \alpha_{bs} + S \cdot \alpha_{ws} = \alpha(\theta_s, \Lambda, \tau(\Lambda))$$

◁ Albedo-derivation from BRF (Lucht and Schaaf, 2000)

- directional-hemispherical integral

$$h_k(\theta_s) = \frac{1}{\pi} \int_0^{2\pi} \int_0^{\pi/2} K_k(\theta_s, \theta_o, \phi) \sin \theta_o \cos \theta_o d\theta_o d\phi = \sum_j g_{jk} P_j(\theta_s)$$

$$\alpha_{bs}(\theta_s, \Lambda) = \sum_k f_k(\Lambda) h_k(\theta_s) = \sum_k f_k(\Lambda) \sum_j g_{jk} P_j(\theta_s)$$

- bihemispherical integral

$$H_k = 2 \int_0^{\pi/2} h_k(\theta_s) \sin \theta_s \cos \theta_s d\theta_s$$

$$\alpha_{ws}(\Lambda) = \sum_k f_k(\Lambda) H_k$$

▷ g_{jk} , $P_j(\theta_s)$ and H_k precomp., $f_k(\Lambda)$ obs.-based, $S(\tau(\Lambda), \theta_s)$ atm. state

◁ The MOD43B Level 3 product

- ▷ 7 channels in the visible (460, 555, 659nm) and near-infrared (865, 1240, 1640, 2130nm), as well as BB (VIS, NIR, total SW)
- ▷ 1km spatial and 16-day temporal resolution
- ▷ combination of Terra/Aqua MODIS and MISR to provide better angular sampling

▷ MOD43B1

- atmospherically corrected reflectances
- RossLi BRF model parameters ($f_k(\Lambda)$)

▷ MOD43B2

- parameters of empirical model (Walthall)

▷ MOD43B3

- black- and white-sky albedos at local noon SZA

▷ MOD43B4















- nadir-view reflectances for local median SZA

- ▷ along with several quality flags (snow, water, low sample number,...)

◁ ERA 20C reanalysis

- first atm. reanalysis of the 20th century (1900-2010)
- produced with IFS version Cy38r1
- coupled Atmosphere/Land-surface/Ocean-waves model
- assimilation of surface pressure and surface marine winds only
- 91 vertical levels, 4 soil layers
- ~125km horiz. resolution (T159)
- ocean waves on 25 frequencies, 12 directions
- 3-hourly temp. resolution

◁ Literature: Surface Albedo & BRR

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-  [Lucht and Schaaf, 2000]
An Algorithm for the Retrieval of Albedo from Space Using Semiempirical BRDF Models
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A Direct Algorithm for Estimating Land Surface Broadband Albedos from MODIS Imagery
IEEE Transactions on Geoscience and Remote Sensing, 41(1):136-145,.
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Journal of Geophysical Research, 98(D11):20,791-20,801,.
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IEEE Transactions on Geoscience and Remote Sensing, 30(2) 276-292,.
-  [Ross, 1981]
The Radiation Regime and Architecture of Plant Stands.
Springer, Vol. 3,.
-  [Petty, 2006]
A First Course in Atmospheric Radiation.
Sundog Publishing, Madison Wisconsin, 2nd Edt., 2006.

◁ Literature: Angular Distribution Models

-  [Loeb et al., 2003a]
 Angular Distribution Models for Top-of-Atmosphere Radiative Flux Estimation from the Clouds and the Earth's Radiant Energy System Instrument on the Tropical Rainfall Measuring Satellite. Part I: Methodology
Journal of Applied Meteorology, 42(2):240-265, 2003.
-  [Loeb et al., 2003b]
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 Angular Distribution Models for Top-of-Atmosphere Radiative Flux Estimation from the Clouds and the Earth's Radiant Energy System Instrument on the Terra Satellite. Part I: Methodology
Journal of Atmospheric and Oceanic Technology, 22:338-351, 2005.
-  [Loeb et al., 2007]
 Angular Distribution Models for Top-of-Atmosphere Radiative Flux Estimation from the Clouds and the Earth's Radiant Energy System Instrument on the Terra Satellite. Part II: Validation
Journal of Atmospheric and Oceanic Technology, 24:564-584, 2007.
-  [Loeb et al., 2009]
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Journal of Climate, 22(3):748-766, 2009.
-  [Petty, 2006]
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◁ Linear Regression

- **in general** we want to derive an *intelligent* machine which can predict a value for us
- we believe:
 - that X has a connection to y
 - to understand the *world* with this model
- derive \hat{w} from *Least Squares Estimate* [$\hat{w} = (X^T X)^{-1} X^T y$]
- a **common quality measure** is the *Residual Sum of Squares* (RSS):

◁ Linear Regression

- **in general** we want to derive an *intelligent* machine which can predict a value for us

$$y = w_o$$

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- **in general** we want to derive an *intelligent* machine which can predict a value for us

$$y = w_0 + w_1 \cdot x$$

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$$y = w_0 + w_1 \cdot x + w_2 \cdot x^2$$

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$$y = w_0 + w_1 \cdot x + w_2 \cdot x^2 + w_2 \cdot z$$

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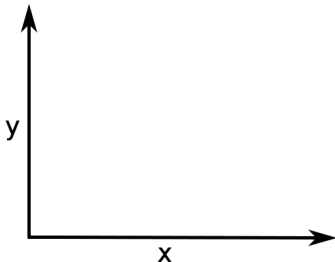
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$$RSS = \sum_{i=1}^N (y - \hat{y})^2 = \sum_{i=1}^N (y - \hat{w}x)^2$$

◁ Challenges

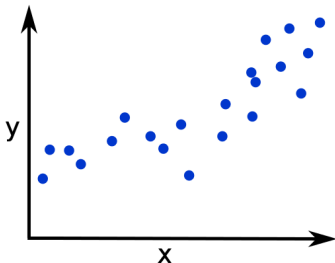
- How complex should our model be?
- Which features should be in it?
- Do I need more data and/or more features?

◁ Challenges



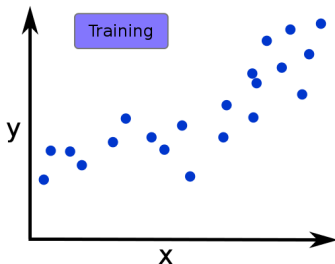
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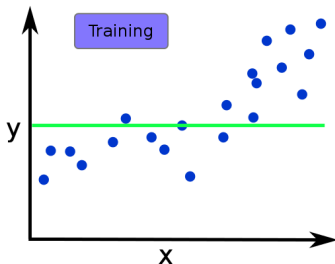
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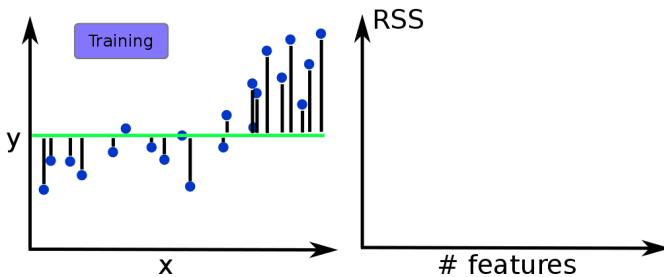
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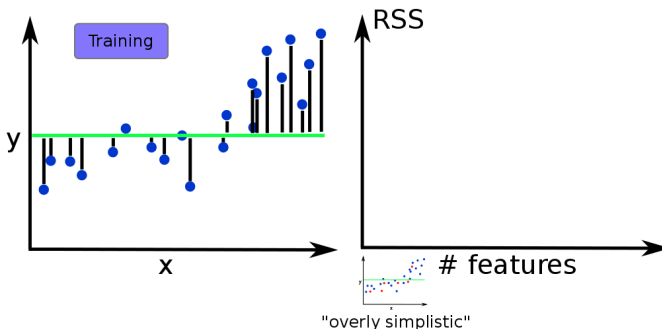
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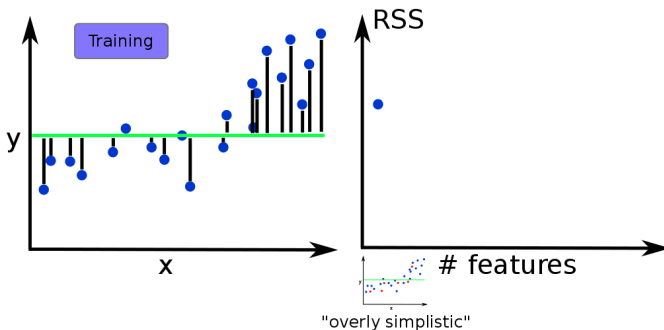
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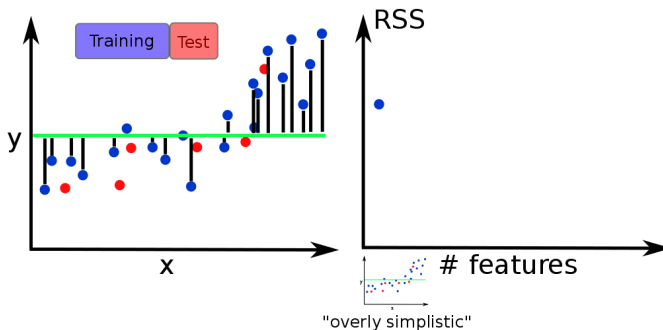
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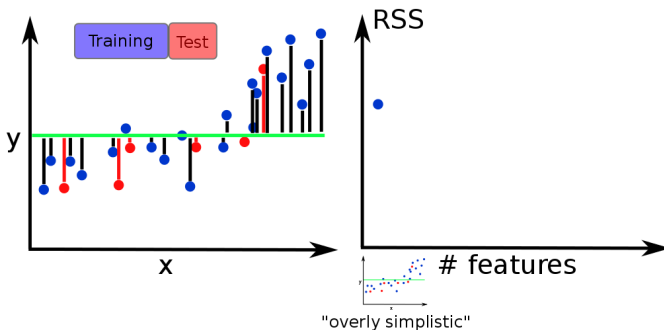
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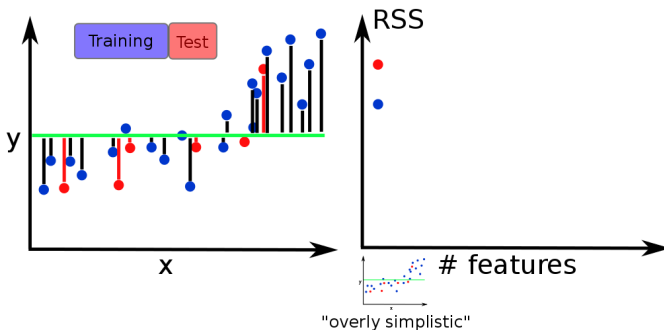
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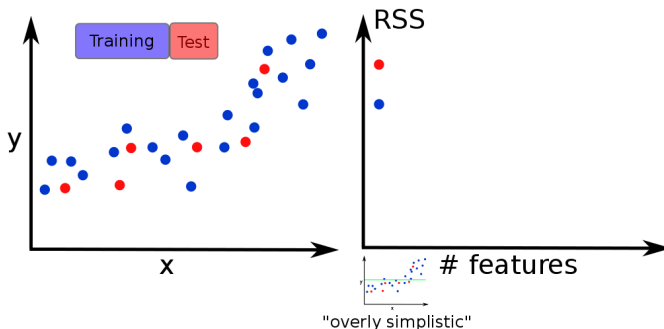
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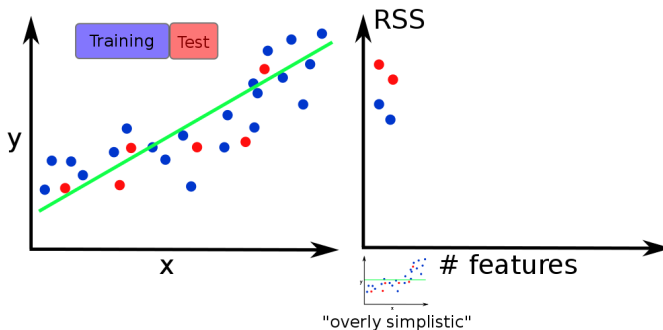
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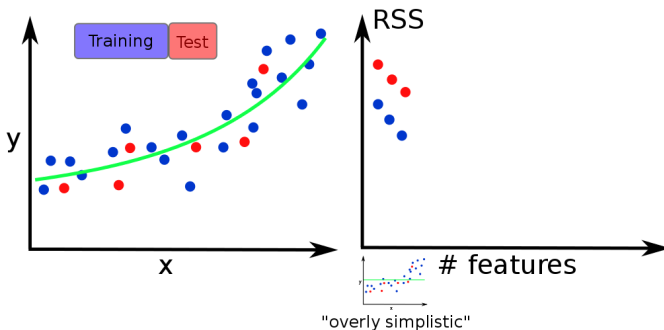
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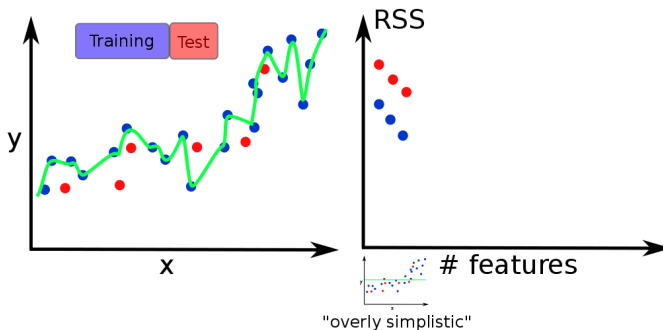
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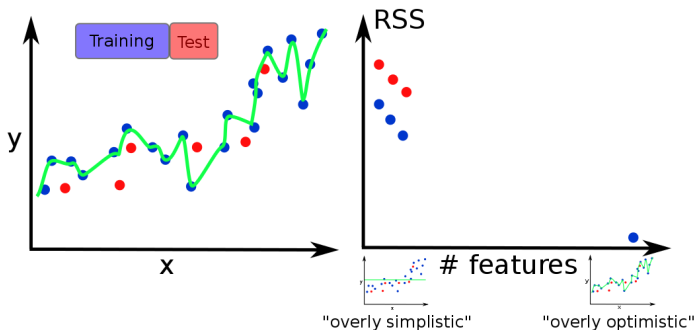
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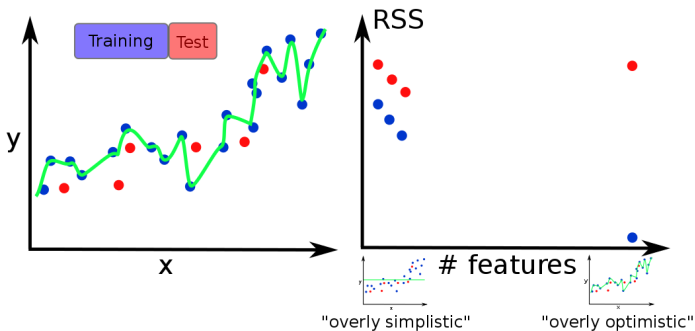
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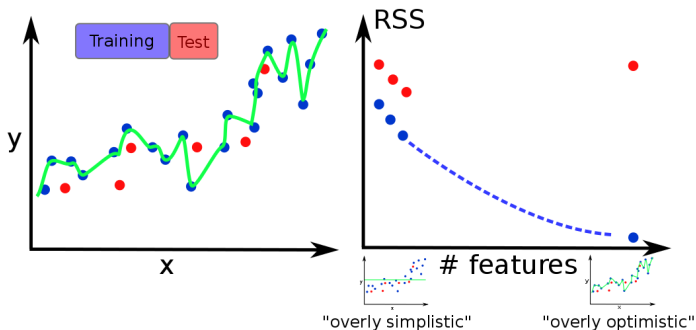
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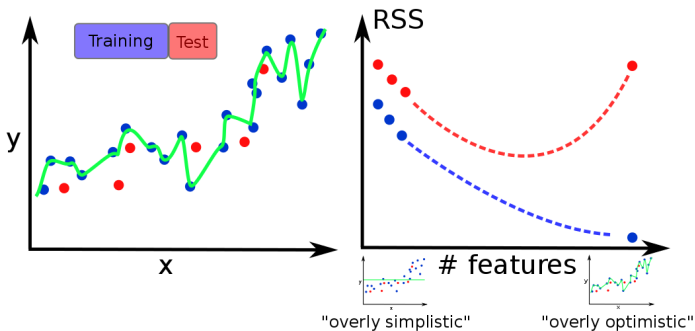
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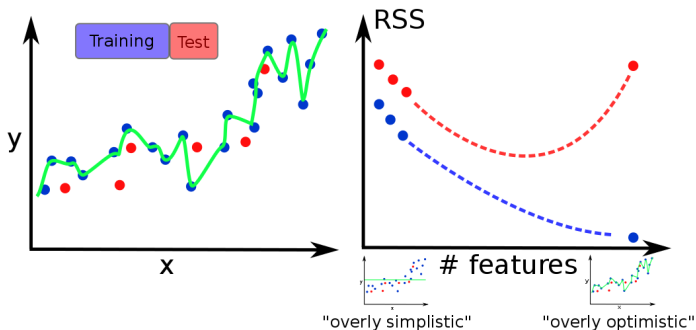
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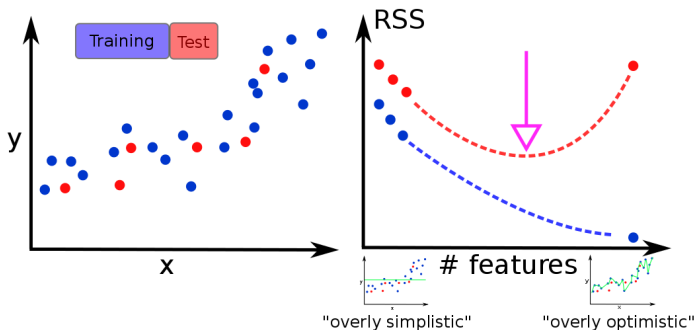
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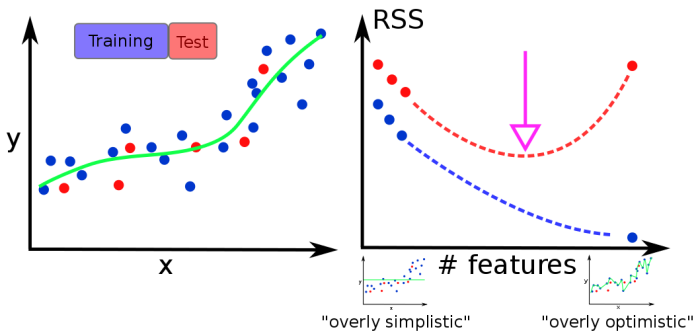
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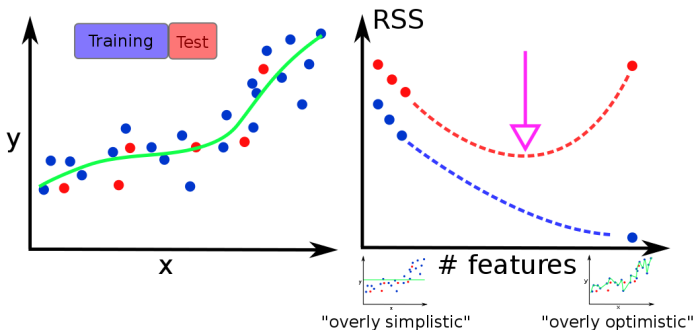
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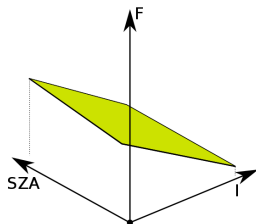
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◁ Approach to radiance-to-flux regression

- 42 potential features for prediction
 - ▷ trying all possible models: 2^{42} comb.
 - ▷ alternatively, using search algorithms:
 - ▷ **Genetic Algorithm** [Scrucca, 2013]
 - biologically motivated selection process of variables
 - *selection, crossover, mutation, elitsm*
- classic setup for model selection:
 - within Training data (80%)
 - use random data sample for GA parameter selection
 - cross-validate with remaining data
 - after 100 runs, select best performing parameter set
 - apply Linear Model with optimal feature subset to Test data

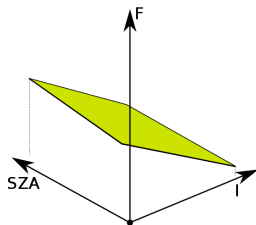
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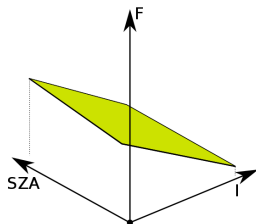
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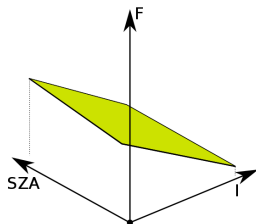
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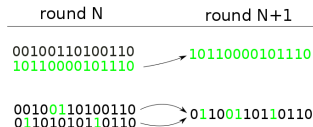
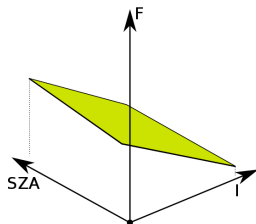


round N	round N+1
00100110100110	10110000101110
10110000101110	

An arrow points from the second row of round N to the first row of round N+1.

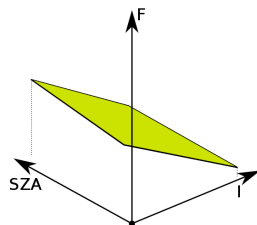
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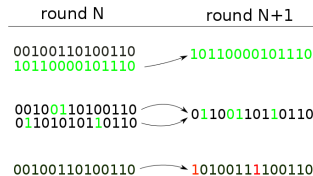
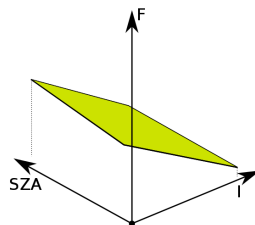
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round N	round N+1
00100110100110 10110000101110	10110000101110
00100110100110 01101010110110	01100110110110
00100110100110	10100111001110

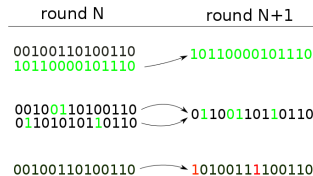
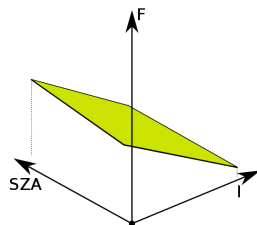
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 - ▷ trying all possible models: 2^{42} comb.
 - ▷ alternatively, using search algorithms:
 - ▷ **Genetic Algorithm** [Scrucca, 2013]
 - biologically motivated selection process of variables
 - *selection, crossover, mutation, elitism*
- classic setup for model selection:
 - within Training data (80%)
 - use random data sample for GA parameter selection
 - cross-validate with remaining data
 - after 100 runs, select best performing parameter set
 - apply Linear Model with optimal feature subset to Test data

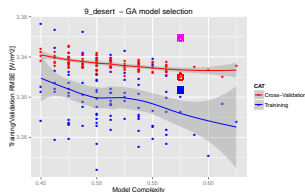


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◁ Feature selection



- repeat Genetic Selection 100 times
- pick feature subset with lowest cross-validation error

Overview of slides

Talk

- Motivation
- Regression Task
- Overview - Results
- Extracted Data
- Variable Importance
- ANN - results
- Summary & Conclusions

Appendix

- Random Forest
- Permutation Test
- Linear Regression Challenge
- BIC - Information Criterion
- Genetic Algorithms
- Ross-Li BRF
- Ross *thick* Kernel
- Li *sparse* Kernel
- Albedo Definition
- Albedo derivation
- MODIS BRF Product
- ERA 20C reanalysis
- References: Albedo & BRF
- References: ADM